

Sheet 1 of 1

Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number HVWD-01008US0	Serial/Patent Number 09/757,963		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>		Applicant/Patent Owner John S. Flowers et al.					
		Filing/Issue Date January 10, 2001	Group Art Unit				
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
<i>M</i>		5,892,903	04/06/99	Klaus	395	187.01	09/12/96
<i>M</i>		5,136,523	08/04/92	Landers	395	54	03/26/91
<i>M</i>		5,278,901	01/11/94	Shieh et al.	380	4	04/30/92
<i>M</i>		5,802,320	09/01/98	Baebr et al.	395	200.79	05/18/95
FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Country	Class	Subclass	Trans- lation Yes No
OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)							
<i>M</i>		Rebecca Bace, Infidel, Inc. "An Introduction to Intrusion Detection and Assessment", 1999, 38 pages.					
<i>M</i>		Fyodor, "Remote OS detection via TCP/IP Stack FingerPrinting", October 18, 1998, 10pages.					
Examiner	<i>M</i>	Date Considered <u>3/17/03</u>					
<small>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							
<small>*1 = Copy not submitted because it was submitted in prior application SN / , filed _____, 19 _____. *2 = Copy not submitted because it was submitted in prior application SN / , filed _____, 19 _____. </small>							

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Supplemental

Sheet

1

of

3

Complete if Known	
Application No.	09/757,963
Filing Date	January 10, 2001
First Named Inventor	John S. Flowers <i>et al.</i>
Art Unit	2131
Examiner Name	Gail O. Hayes

Attorney Docket Number

23327-06896

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No.	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
OCT 11 2002 PATENT & TRADEMARK OFFICE	A1	US- 5,278,901	01-11-1994	Shieh et al
	A2	US- 5,796,942	08-18-1998	Esbensen
	A3	US- 5,798,706	08-25-1998	Kraemer et al.
	A4	US- 5,892,903	04-06-1999	Klaus
	A5	US- 5,931,946	08-03-1999	Terada et al.
	A6	US- 5,958,015	09-28-1999	Dascalu
	A7	US- 5,991,881	11-23-1999	Conklin et al.
	A8	US- 6,185,689 B1	02-06-2001	Todd, Sr. et al.
	A9	US- 6,263,444 B1	07-17-2001	Fujita
	A10	US- 6,279,113 B1	08-21-2001	Vaidya
	A11	US- 6,282,546 B1	08-28-2001	Gleichauf et al.
	A12	US- 6,298,445 B1	10-02-2001	Shostack et al.
	A13	US- 6,301,668 B1	10-09-2001	Gleichauf et al.
	A14	US- 6,321,338 B1	11-20-2001	Porras et al.
	A15	US- 6,324,656 B1	11-27-2001	Gleichauf et al.
	A16	US- 6,330,562 B1	12-11-2001	Boden et al.
	A17	US- 6,343,362 B1	01-29-2002	Ptacek et al.
	A18	US- 6,347,376 B1	02-12-2002	Attwood et al.
	A19	US- 6,359,557 B2	03-19-2002	Bilder
	A20	US- 6,363,489 B1	03-26-2002	Comay et al.
	A21	US- 6,370,648 B1	04-09-2002	Diep
	A22	US- 6,408,391 B1	06-18-2002	Huff et al.
	A23	US- 2002/0133721 A1	09-19-2002	Adjaoute

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
	B1	WO 01/31420 A2	05-03-2001	Visa International Service Association	
	B2	WO 02/45380 A2	06-06-2002	Lancope, Inc.	

Examiner Signature

Date Considered

SLY/JM

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
Supplemental

Sheet

2

of

3

Complete if Known	
Application No.	09/757,963
Filing Date	January 10, 2001
First Named Inventor	John S. Flowers <i>et al.</i>
Art Unit	2131
Examiner Name	Gail O. Hayes

Attorney Docket Number

23327-06896

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

Examiner Initials ¹	Cite No. ²	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ³
O P DEC 07 2001 PATENT	CC1	Abstract, W. Erhard, et al., "Network Traffic Analysis and Security Monitoring With UniMon", Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439 – 46 (June 2000).	
M TOM DEAR	C2	Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, "A Methodology For Testing Intrusion Detection Systems", IEEE Transactions on Software Engineering, Vol. 22, Issue 10, pp 719-29 (October 1996).	
M	C3	Abstract, Mounji A. Le Charlier, et al., "Distributed Audit Trail Analysis", Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102 – 12 (Feb 16 – 17, 1995).	
M	C4	Abstract, L.T. Heberlein, et al., "A Network Security Monitor" Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7 – 9, 1990).	
M	C5	Abstract, Xinzhou Quin et al., "Integrating Intrusion Detection and Network Management", Network Operation and Management Symposium, 2002. NAOMS 2002. 2002 IEEE/IFIP, pp 329 – 44 (April 15 – 19, 2002).	
M	C6	Abstract, D.G. Schwartz et al., "A Case-Based Approach To Network Intrusion Detection", Proceeding of the 5th International Conference on Information Fusion, 2002. Vol. 2 pp 1084 – 89 (July 8 – 11, 2002).	
AD	C7	Abstract, "Open Source Security: Opportunity or Oxymoron?" Computer, Vol. 35, Issue 3, pp 18 – 21 (March 2002).	
M	C8	Abstract, Liu Dihua, et al. "Data Mining For Intrusion Detection", Proceedings ICII 2001 – Beijing 2001 International Conference on Info-Tech and Info-Net, 2001, Vol. 5, pp 7 – 12, (October 29 – November 2001).	
M	C9	Abstract, Kai Hwang & M. Gangadharan, "Micro-Firewalls for Dynamic Network Security With Distributed Intrusion Detection", NCA 2001 IEEE International Symposium on Network Computing and Applications, 2001. pp 68 – 79, (October 8 – 10, 2001).	
W	C10	Abstract, Wenke Lee Stolfo, et al., "Real Time Data Mining-Based Intrusion Detection", Proceedings DARPA Information Survivability Conference & Exposition II, 2001, DISCEX '01. Vol. 1, pp 89 – 100 (June 12 – 14, 2001).	

Examiner Signature	<i>Reilly</i>	Date Considered	<i>8/17/01</i>
--------------------	---------------	-----------------	----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>Supplemental</i>				Application No.	09/757,963
				Filing Date	January 10, 2001
				First Named Inventor	John S. Flowers <i>et al.</i>
				Art Unit	2131
				Examiner Name	Gail O. Hayes
Sheet	3	of	3	Attorney Docket Number	23327-06896

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	---	--------------------	---

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

23327/06896/DOCS/1311658.1